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ABSTRACT

This collection of abstracts is part of a continuing series providing information on recent doctoral dissertations. The 16 titles deal with the following topics: (1) the philosophy of rhetoric: (2) an analytical study of the development of major concepts of causality in philosophy: (3) an ontological approach to interpersonal communication pedagogy: (4) a textual approach to communication: (5) the ideas of Paulo Freire on communication and culture: (6) Jurgen Habermas and political analysis: (7) a hermeneutic analysis of human speaking, including an examination of the works of Martin Heidegger, Paul Ricoeur, and Hans-Georg Gadamer: (8) the "Eide" of apologetic discourse: (9) Aristotle's concept of deistic reference as a rhetorical device: (10) Gorgias on rhetoric: (11) a critical analysis and examination of the issue of speech as an overlaid function: (12) a communicative theory of text: (13) the place of rules in human communication inquiry: (14) mystical ontology in Kenneth Burke: (15) an epistemological, theoretical, and methodological approach to cognitive activity: and (16) a theory of semiotics, communications technologies, and culture. (MKM)

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Rhetorical and Communication Theory:

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A PHILOSOPHY OF RHETORIC

AUGUSTINE, Dorothy Ann, Ph.D. University of Southern California, 1979. Chairman: Professor W. Ross Winterowd

The paradigm for language referred to in this essay is explicitly post-Chomskian. The thesis is governed by the idea that what people say (or write) when they talk to each other is a surface representation of deep structure, tacit presuppositions.

But some powerfully intuitive notions from the classical tradition have influenced the scope and organization of the argument: The time-honored concepts identified as invention, form, and style, and ethos, pathos, and logos, together with the newer theories and models of deep structure semantics, intention-response, speech acts, and pragmatics can form a coherent rhetorical framework for theoreticians and practical researchers alike. The construction of such a framework, or paradigm for rhetoric, is the purpose of this essay.

A basic premise is demonstrated and established in the first chapter, that language is not the articulating tool of a system of thought, but a system itself which may well affect the regulating patterns of other systems, including rhetoric. Through an analysis of Grice's intention-response mechanism adapted to the pragmatics of performativeness, language is defined as a medium for expressing epistemic knowledge, and rhetoric is seen as an abstract meta-system for facilitating inter-communication of that knowledge in special situations. A deep structure and explicitly represented performative sentence such as I ((((state) (assert) (advise) (. . . .)))) (to you) that . . . . is posited as the generating force of all discourse, which, paradoxically, in rhetorical situations is partly determined by the addresser's projection of the alter-intention(s) of the addressee (or audience).

In Chapter 2, a model of the composing process is offered, demonstrated, and given substantiation from recent research in neuro- and psycho-linguistics. The argument is made that the composing process and the inventive activity, especially, are variations of the intention-response mechanism which describes language games in general, and an accommodation to the speech acts which describe environments of performativeness in particular. In the composing process, the competent writer will choose a "performative stance," influenced by the presuppositions he holds about the subject matter and the addressee, and by the presuppositions he projects the addressee to hold about the subject matter and the addresser. Aristotle's topics are examined in light of the discussion of language games, as are two inventive techniques in current pedagogy – CAI programs and journal writing – in order to show their relevance to deep structure phenomena.

Form is defined in Chapter 3 as the ethical, logical, or pathetic code of presentation entailed by the distinctive features of the sub-class of performative verb in the underlying stance. Performatives are sub-categorized as [± rhetorical]. The deep structure performative stance is demonstrated as having three rhetorical nodes: ethos ("I"), pathos (performative verb + indirect object); logos (subordinate clause). This point and the one made in Chapter 2 on the topoi constitute the firmest evidence in the essay that some aspects of the classical tradition are more than just intuitively admissable.

In Chapter 4, style is described as the options a writer has at the level of the sentence, principally in terms of sentence modifiers, to express meaning by "indicating" his choice of performative stance in the surface structure of discourse. Syntactic fluency is shown to have practical value in terms of the "principle of cooperation" as well as aesthetic appeal.

The last chapter concludes with a statement on the wholistic activity of composing and the integrated purviews of philosophy, linguistics, and rhetoric.

The appendix is a report on a pilot project for a writing program at the high school level. It serves as empirical testing and verification of the philosophy offered in the essay.

AN ANALYTICAL STUDY OF THE DEVELOPMENT OF MAJOR CONCEPTS OF CAUSALITY IN PHILOSOPHY Order No. 8010121

BENOIT, WILLIAM LYON, PH.D. *Wayne State University*, 1979. 301pp. Adviser: George Ziegelmueller

The notion of causality, that events are linked in systematic ways permitting prediction and control of our environment, permeates the speech communication field. Causal reasoning in argumentation, the criterion of "effect" in rhetorical criticism, and the concept of speaker influence upon the audience in persuasive and rhetorical theories exemplify the heavily reliance of this field upon some notion of causation.

Despite frequent utilization of causal notions, this concept has yet to be thoroughly studied in this field. This study examines the major historical conceptualizations of causality in philosophy. The writings of two traditionalists, Aristotle and St. Thomas Aquinas, are examined first. Next the British Empiricist analysis of causation is explicated from writings of John Locke, George Berkeley, and David Hume. Two responses to Hume are then considered--Scottish Common Sense Philosophy, exemplified by James Beattie and Thomas Reid, and the critical response of Immanuel Kant. Finally, two approaches to causal induction are analyzed: Francis Bacon's and John Stuart Mill's.

After explicating these philosophical conceptions of causality, the results are synthesized into one view of causality addressing the major issues addressed earlier.

The nature of "cause" is considered initially. A cause is an assemblage of objects and/or events prior to, contiguous with, constantly conjoined with, and responsible for another object/event. It may overlap with its effect, and the interval between its beginning and its effect's beginning may be too small to detect. Material causes are prior to their effects, as final cause (purpose). Final cause (completed object) and formal cause exist simultaneously with their effects. Causes are physically contiguous with their effects (unless connected through other causes). Causes possess some sort of power through which they are responsible for their effects. Currently, the word "cause" connotes only the efficient and final cause.

Causal knowledge is scientific knowledge, permitting prediction and control of future events. It is important in daily life. Knowledge of causal laws is more useful than knowledge of the causes of particular facts. Causal knowledge is obtained from experience (except for knowledge obtained through means similar to Mill's Method of Residues). Causal reasoning is often analogical.

The principals of universal and uniform causation, as well as the claim of causal necessity, have yet to be proven, and may always remain unproven. Nevertheless, these are reasonable and useful assumptions, capable of confirmation.

Mill, refining Bacon's work, presents five canons of causal induction. These Methods are: Agreement (the cause or effect is that circumstance which diverse instances of the phenomenon under investigation share), Difference (the cause or effect is that circumstance which differs between two similar instances, one of which lacks the phenomenon under investigation), Residues (those circumstances not identified by previous inductions are the causes of hitherto unexplained aspects of the phenomenon under investigation), and Concomitant Variation (causally related phenomena will vary together).

Implications of these conceptions of causality for speech communication are also explored. Aristotle's four categories are still useful in research. The analysis underlying Mill's canons (especially the Method of Difference) is the same employed in experimental studies. Analysis of multiple causation, treated systematically by Mill, is important in speech communication. Two realms of causality distinguished in the philosophical literature physical (physical events caused by other physical events or human action) and interpersonal (listener effects caused by interpersonal transactions), exist in speech communication. It is argued that the conceptions of causality discussed here apply to both, but with greater confidence in the former. Finally, it is claimed that one's epistemology influences one's conception of causality.

AN ONTOLOGICAL APPROACH TO INTERPERSONAL COMMUNICATION PEDAGOGY: DOING PHENOMENOLOGY

Order No. 8001486

CHILBERG, Joseph C., Ph.D. Ohio University, 1979. 230pp.
Director of Dissertation: Dr. Ray Wagner

This work examines the epistemological presuppositions of social science and ontology in an effort to assess their significance to interpersonal communication pedagogy. The assessment is specifically concerned with each epistemology's value and impact in promoting the adoption and transfer of communication skills to the student's life world.

The inquiry was conducted by examining each epistemology across the themes of reality, knowledge, truth, teaching/learning, and as applied to communication research. The sources of information regarding positivist social science and communication research came from Aubrey Fisher's Perspectives in Human Communication. Sources for the ontological epistemology were derived from Martin Heidegger's Being and Time, Hans-Georg Gadamer's Truth and Method and Philosophical Hermeneutics, and other existential phenomenological writers. Ontological oriented communication research resources were drawn from articles in hermeneutic phenomenology by Stanley Deetz and Leonard Hawes. The relation of ontology to teaching/learning was addressed from Donald Vandenberg's Being and Education: An Essay in Existential Phenomenology.

The inquiry reveals several limitations and problems inherent in current practices of interpersonal communication pedagogy which mitigate against the development and transfer of communication skills to the life-world. The proulems are associated with the positivist epistemology of social science which predominates propositions about communication and shapes the manner of treating teaching/learning in interpersonal communication education. The problems revolve around the expectation of fulfilling the development and transfer of communication skills to the life-world through theoretical propositions which lack sufficient fidelity and relevance with one's experience of communication. This reflects the dominance of categorical and reified essence over lived experience in the teaching/learning situation which serves to alienate the student from others, himself, and coming to knowledge. Hence, the development and transfer of communication skills is obstructed.

The meaning of Being, the focus of contemporary ontology, provides an alternative for viewing interpersonal communication education and an answer to the problems of a positivist epistemology. Being pre-reflectively underlies the experience of communicative acts and is the ground which gives rise to communicative behaviors. Development of communication skills and attitudes is contingent upon a correlative and complementary state of Being. The ontological stance of learning and development recognizes the need to address the Being of one's existential situation as the way to coming to genuine knowledge. Knowledge arises through transcending one's state of Being.

The ontological approach to interpersonal communication pedagogy requires the learner to address his/her experience as the object of knowledge. An interrogation of the experience through hermeneutic phenomenological methods uncovers one's choice of Being in and through a given communicative experience. The identification of Being to experience reflects a pedagogy which makes one's experience the focus of inquiry and identifying the presentational essence (or Being) the goal of the inquiry.

The hermeneutic phenomenological mode of inquiry provides an orientation to interpersonal communication pedagogy that treats communication phenomena from a holistic and experiential perspective which is meaning, process, and problem centered. Phenomenological inquiry uncovers the "what" and "how" of one's communicative experience. This disclosure reveals one's Being to experience and provides the basis from which the need for change can be addressed from its most primordial locus and from which development can occur that disposes one to adopting appropriate communication skills and attitudes. The ontological approach to interpersonal communication pedagogy, unlike the positivist approach, enacts a style of teaching/learning that does not treat learning from an authoritative stance of propositional knowledge. It engages the student in a dialogue with him/herself and others in an effort to come to knowledge which is his/her own. It provides a means for growth and development from the individual's place in the world.

THE IDEAS OF PAULO FREIRE ON COMMUNICATION AND CULTURE

Order No. 8009016

DE LIMA, VENICIO ARTUR, PH.D. *University of Illinois at Urbana-Champaign*, 1979. 228pp.

There is an increasing consensus among some communication scholars about a general need for theoretical investigation and conceptual analysis within the domain of communication studies. This consensus reflects a growing discontent about the historical prevalence of positivist paradigms in the field, that is, the prevalence of the theoretical models of behaviorism and functionalism.

Students of communication, especially in the United States, have largely overlooked or neglected possible contributions from "outside" areas when developing communication theories.

Paulo Freire is a case in point on this narrowness of most current communication studies. This dissertation attempts to analyze and to evaluate his ideas on communication and culture and their possible contributions to communication studies.

The study is divided into six chapters, followed by two appendices and a selected bibliography. Chapter I consists of an introduction emphasizing the rationale for this work being done in communication, its organization and a brief description of each chapter's content. Chapter II presents Freire's biographical background and a critical analysis of the major patterns followed by studies done about him in other disciplines. Chapter III concerns the historico-political context of the basic formative period of Freire's thought - Northeast Brazil in the fifties and early sixties. Chapter IV explores Freire's concept of communication on three levels: anthropological, epistemological and socio-political, emphasizing its dialectical political dimension. Chapter V analyzes Freire's concept of culture by discussing three of his key phrases: culture of silence, the anthropological concept of culture and cultural action. Chapter VI offers an analysis and evaluation of Freire's relevance to communication studies.

Appendix *A* consists of a comprehensive list of Freire's writings indicating, wherever available, the English translation.

Appendix *B* offers a quotational bibliography of dissertations done about Freire in North America up to 1978.

The Bibliography lists all materials to which references were made in the dissertation.

COMMUNICATION, SPEECH, AND POLITICS: HABERMAS AND POLITICAL ANALYSIS

Order No. 8000994

EALY, Steven Douglas, Ph.D. University of Georgia, 1979. 304pp. Major Professor: Eugene F. Miller

The investigation carried out in this dissertation combines the empirical and theoretical dimensions of the study of language and politics. These two sets of concerns are approached through an analysis of the communication theory of Jürgen Habermas. Habermas is useful for this purpose because he combines an understanding of the theoretical questions relating to language with a concern for the methodology of social science and an interest in the analysis of political behavior.

My study begins with an empirical investigation of the relationship between language and politics, namely, a case study of the Georgia Classification Survey, which was conducted by the State Merit System between July, 1975, and July, 1978. The purpose of this case study is two-fold. First, the case study stands independently as an introduction to the types of communication problems which arise in political and administrative organizations. Second, and more importantly, the case study is used to test the applicability of the communication theory of Habermas to a real-world political situation.

The next segment of the dissertation consolidates and integrates the writings of Habermas which are of significance for the communication theory he is in the process of

developing. This analysis of Habermas begins with his discussion of the primary cognitive interests which underlie and direct man's search for knowledge and the alternative types of science built on these competing interests. The technical interest is the basis for empirical-analytic science, while the practical interest in intersubjective understanding provides the basis for the historical-hermeneutic sciences, and the emancipatory interest underlies the critical social sciences.

I next turn to Habermas's universal pragmatics of speech, which is the discipline which studies the characteristics of "situated utterances." The theoretical output of universal pragmatics is a theory of communicative competence, which reconstructs the rules governing the communicative behavior of competent speakers. According to Habermas, every speech act makes four validity claims: clarity, veracity, legitimacy, and truth. To show the significance of these claims I explicate in detail Habermas's consensus theory of truth and his notion of the ideal speech situation. I then discuss the political dimension of Habermas, as found in his understanding of socialization, distorted communication, and the scientization of politics.

Next, I apply the concepts developed in Habermas's communication theory to an analysis of the Georgia Classification Survey. This analysis is presented as a first step in assessing the utility of Habermas's communication theory for the study of political phenomena. In this analysis, I tentatively accept as valid the theoretical position of Habermas. I find that this position does have applicability in the analysis of a practical situation, such as that covered in the case study, and that many of the communication problems encountered during the course of the Survey can be explained in Habermasian terms. I conclude that Habermas's theory of communication is useful at least as a heuristic device to identify and explain communication problems, whatever its ultimate philosophical validity.

Finally, I turn to an appraisal of Habermas's account of language in which I consider the theoretical difficulties with Habermas. My critique of Habermas is both internal and external. My internal critique raises questions concerning the notion of cognitive interests and the relationship between emancipation and communication theory. My external critique is based on the classical understanding of political speech. I suggest that Habermas's model of communication is not adequate for all types of political speech and then I present an alternative understanding of the goal of speech. I conclude with a discussion of the consensus theory of truth and the relationship between political philosophy and emancipation.

A PHENOMENOLOGY OF THE MESSAGE: A TEXTUAL APPROACH TO COMMUNICATION Order No. 7918037

HORNE, Janet S., Ph.D. Ohio University, 1979. 133pp. Director of Dissertation: Dr. Ray E. Wagner

This dissertation describes the nature of the text for communication studies, thereby developing a rationale for a textual approach to communication. The investigation of the problem "What is it that we have when we have a text of speech?" begins with an examination of the key concepts text and rhetoric, explicating them in their significance for this study.

The model for the textual approach to communication was found in the philosophy of literature, specifically in Roman Ingarden's description of the ontology of the literary work of art. Ingarden's phenomenology of the literary text provided a valuable conceptual analysis to which a conceptual analysis of the communication text could be analogued. The importance of Ingarden's work for communication studies was its provision for differentiation among types of texts with respect to the attitude or stance taken toward the text by the reader or critic. Ingarden referred to such differentiations of types of texts as concretizations of texts. In addition, Ingarden described the literary work of art as composed of strata or dimensions which have structural/functional significances. The major contribution of Ingarden's work to the study of the communication text was, then, the notion that the text must be dimensionally located vis à vis the ontological status of the text as object and the status given to it by the reader.

The work of Paul Ricoeur provided a thorough discussion germane to the problem of the communication text with his writings on discourse. Ricoeur examined the differences between spoken and written discourse. He also described what can be revealed by a text and discussed the nature of inscription along with the limitations of structuralism's power to describe inscribed discourse.

The works of Ingarden and Ricoeur established a foundation for the argument that forms of inscription exist for spoken discourse (e.g., videotape) and that such inscriptions constitute the available text for the study of communication.

Also, however, following Ingarden and Ricoeur, the inscription of discourse which constitutes the communication text can be concretized along several dimensions in addition to its materiality or factiticy, to which we have access through intersubjective interpretation of the text. These dimensions of the inscription were referred to as the dimensions of text (what is said), work (what is done by the text) and message (what the text means).

The final portion of the study applied the argument for a textual approach to the discipline of communication studies specifically to conventional concepts within rhetorical criticism and interpersonal communication. It was concluded that the explanatory power of the textual approach to communication based upon hermeneutic phenomenology is significant, providing amplification of such phenomena as the role of the Self in communication, the a priori intersubjectivity of communication, the role of rhetoric in communication, and the definition of relationships through communication.

The major contributions of the study lie in the emphasis upon messages as the proper focus for communication studies--an antipsychologistic approach which has implications for both theory construction through qualitative research and pedagogy within the discipline of communication. The textual approach provides a rationale for qualitative research grounded firmly in the interface between the nature of text (the fixation of discourse) and the nature of discourse as fleeting event.

A HERMENEUTIC ANALYSIS OF HUMAN SPEAKING: AN EXAMINATION AND EXTENSION OF THE WORK ON LANGUAGE OF MARTIN HEIDEGGER, PAUL RICOEUR, AND HANS-GEORG GADAMER

JOHNSON, PATRICIA ALTENBERND, PH.D. *University of Toronto (Canada)*, 1979.

The importance of contemporary hermeneutics for the analysis of language has only begun to emerge. In Chapter I the brief historical sketch provides background for the ontological and linguistic developments in contemporary hermeneutics. These developments suggest that an understanding of language appropriately begins with an analysis of human speaking. That analysis is the task of this dissertation. What is sought is a description of the space of human speaking and the way in which human speaking is essential to that space. The metaphor of space guides the analysis which begins by considering the work of Martin Heidegger, Paul Ricoeur, and Hans-Georg Gadamer.

Heidegger's work (Chapter II) is most formative for our direction and conclusions. His broadening of "hermeneutics" in *Sein und Zeit* is explored and related to his retrieval of the meaning of λόγος. The culmination of this retrieval is the working out of λόγος as originary Lay. This work points to the need for a rethinking of language focusing on the themes of saying, listening, and belonging. Heidegger's rethinking in his later essays on language is explored in the framework of these themes, and his employment of poetry as a paradigm is discussed. These themes and the role of paradigm focus the rest of our analysis.

The work of Paul Ricoeur (Chapter III) calls Heidegger's beginning into question and thus raises questions concerning the role of ontology and methodology for the analysis. Ricoeur's rejection of Heidegger's position is considered, and his work on interpretation is explored both in relation to symbol and to discourse and text. This exploration as well as a consideration of Ricoeur's reflections on structuralism and metaphor indicate that Ricoeur's work on language requires an ontology akin to Heidegger's. When this is recognized, Ricoeur's work on interpretation and his development of the paradigm of the text can be viewed as contributing to a hermeneutic analysis of human speaking, especially to the characterization of listening.

Gadamer's work (Chapter IV) on methodology and his development of the concept of play indicate more clearly the weakness of Recoeur's position and the importance of Heidegger's framework. Gadamer's work on tradition, community, and the paradigm of dialogue significantly influence his consideration of language. He focuses on the human speaker as the centre of language but also as in need of finding the right language, that is, of following the logic of the thing. Because of this focus, Gadamer's contributions to the hermeneutic analysis of human speaking are particularly important for a development of the characteristic of belonging.

The examination of the work of these three philosophers suggests the possibility of extending a hermeneutic analysis of human speaking by means of a thematic presentation of the characteristics of saying, listening, and belonging (Chapter V). This presentation discusses the contributions of Heidegger, Ricoeur, and Gadamer in relation to each other. Each characteristic is then further developed by means of a guiding word. The words pursued are "saga," "anamnesis," and "kenosis." An examination of the role of paradigm (Chapter VI) furthers and concretizes this thematic characterization of the space of human speaking. The paradigms of poetry, text, and dialogue are evaluated. While the paradigm of poetry is shown to be most appropriate, an application of this paradigm to everyday speaking leads to the development of a further complementary paradigm, that of storytelling. The exploration of this paradigm indicates the merits of the hermeneutical analysis for exploring and holding open the space of human speaking.

THE EIDÊ OF APOLOGETIC DISCOURSE: AN ARISTOTELIAN RHETORICAL-POETIC ANALYSIS Order No. 7928589

KRUSE, Noreen Wales, Ph.D. The University of Iowa, 1979. 397pp. Supervisor: Professor Donovan J. Ochs

For twenty-five centuries, scholars and critics have accepted the apologia as a viable genre of discourse. However, to date, no one has attempted to identify the generic eidê, the substantive materials which form the premises of apologetic claims. Such an identification was the principal task of my investigation.

For this study, I have defined apologia as that discourse which: (1) is produced as the result of an actual attack upon the element of one's ethos which relates to "good character"; (2) seems to have character or image restoration as its function; and (3) at least appears to be produced by the censured individual. Because the form in which the message may be cast does not affect the controlling definitional features, I examined autobiographies and poetic works, as well ar oral statements, as representative apologias.

The nine works included in the study are: (1) Demosthenes' On the Crown; (2) Hitler's address to the Reichstag in defense of the Röhm purge; (3) Theodore Sorensen's statement made in withdrawing his name for nomination as CIA Director; (4) The Autobiography of Charles Darwin; (5) Albert Speer's Inside the Third Reich; (6) The Memoirs of Richard Nixon; (7) the extant fragments of Solon's poetry; (8) Arthur Miller's play, After the Fall; and (9) John Ehrlichman's novel, The Company.

In all cases, apologists present themselves as tragic heroes, as good people who have been brought down by the erroneous choices they have made or which the public thinks they have made. Therefore, in order to locate the apologetic eidê, I analyzed each representative work in relation to five features of the Aristotelian tragedy: (1) the proofs of the apologist's good character as these appear in that individual's habitual choices; (2) the "explanation(s)" of the apologist's censured deed(s) which are offered in the depictions of choices which have no moral overtones and in the description of the subsequent fall; (3) the manner(s) in which the apologist establishes commonality with the audience; (4) the emotional states the apologist tries to generate in the audience; and (5) the way(s) in which audience members can relieve their emotional tensions through catharsis.

By applying the scheme suggested by principles found in Aristotle's Poetics, I discovered that the apologetic eidê relate to four different types of materials: character; situation; values; and emotional tension. In some cases, the eidê are similar to those Aristotle identifies as the special topics of forensic and epideictic rhetoric. However, the materials in each of the four groups are particular to the apologia. In most cases, too, the eidê and their applications are time- and culture-variant. The few exceptions are the specific applications of the eidê of value which vary because of different cultural beliefs and the moral characteristics associated with the Christian ethic which appear in modern works. Furthermore, the eidê are not bound to any type of discourse, which indicates that the situation determines the materials, not the form carrying the message.

In addition to providing a way to locate the apologetic eidê, an application of the tragic schema allows the critic to determine potential rhetorical success or failure. Thus, a view of the apologia as tragedy does not limit us to a description of discourse; this perspective permits us to explain discourse as well.

ARISTOTLE'S CONCEPT OF DEISTIC REFERENCE AS A RHETORICAL DEVICE Order No. 8010162

OVERSTREET, REGINALD LARRY, PH.D. *Wayne State University*, 1979. 242pp.

Aristotle lived and wrote in a religious world, and the orators of his day commonly made use of deistic reference. Therefore, one would expect to find in Aristotle's *Rhetoric* some recognition of this device and perhaps advice as to whether or not it is appropriate for rhetoric. The objective of this study, therefore, is to identify and to analyze Aristotle's rhetorical theory concerning the use of deistic reference. In so doing, an overview of the *Rhetoric's* composition is preliminary. Of special interest to this study is what types of orators Aristotle specifically links to deistic reference, what values Aristotle perceives in deistic reference, and how explicitly or implicitly he sets forth his rhetorical principles. Little research has ever been done specifically on the questions of to what extent and in what manner Aristotle uses deistic reference in his *Rhetoric* and advocates an orator may employ deistic references as a rhetorical device.

A clear understanding of Greek religion during Aristotle's time is necessary in order to have a standard by which to evaluate Aristotle's own references to religion and deity. Since both language and religion develop in the historical setting, then one should expect the language of religion to reflect that setting. Further, Aristotle's own attitude toward Greek religion must be examined. Whether or not Aristotle corresponded to generally accepted religious standards of his time will have a bearing on comprehending his *Rhetoric*. These matters form the necessary historical foundation toward understanding deistic references in the *Rhetoric*.

The actual examination of the *Rhetoric* involves a reliance on the Greek text rather than solely on English translations. As any one who has learned more than one language could testify, translation from one language to another is always difficult, and complete accuracy is elusive. Basing the study on the Greek text helps to minimize some of the problem.

The dissertation concludes that the socio-cultural-linguistic context of ancient Greece was saturated with religion and religious concepts. Aristotle lived, wrote, and taught in this overall religious context. He knew firsthand the religious beliefs, opinions and attitudes of the Greeks, and that any deistic references would be interpreted by Greeks in view of their religious climate. Aristotle himself was a religious man, polytheistic in belief. His polytheism, however, differed from the ordinary Greek's in that Aristotle did not believe in anthropomorphic gods.

Since Aristotle lived in a world influenced by religion, he devised rhetorical principles which could function in that world. In his *Rhetoric*, Aristotle advises (explicitly and implicitly) orators how to use deistic references. Aristotle directly connects both the deliberative and forensic orators with deistic references. In addition, Aristotle enunciates five particular values of appeals to deity: (1) in establishing goodness, (2) in oaths, (3) in stirring the emotions, (4) in developing argumentation, and (5) in strengthening style.

This study demonstrates Aristotle's awareness of deistic reference as a utilitarian device compatible with rhetoric's goal--persuasion. The study shows Aristotle not only elucidated definite instructions concerning the utilization of deistic reference, but that he also employed it to amplify, explain, and illustrate his rhetorical principles.

GORGIAS ON RHETORIC Order No. 7925839

POULAKOS, John, Ph.D. University of Kansas, 1978. 248pp.

Gorgias' success as a rhetorician during the fourth century B.C., his profound influence on rhetorical theory, and the remarkable similarity of his views with those of some contemporary phenomenologists merit scholarly attention. It is the purpose of this study, by relying primarily on his surviving fragments, to construct Gorgias' theory of rhetoric. This theory modifies the Platonic account of the Sophists and demonstrates the modernity of Gorgias' thought.

Chapter I, introductory in nature, places Gorgias within the cultural and intellectual milieu of his time, summarizes his views on rhetoric, discusses the Platonic and Aristotelian criticism of those views, and surveys the literature relevant to the study. Chapter II inquires into the philosophical presuppositions which constitute the basis of Gorgias' theory of rhetoric. These presuppositions emerge from an extensive discussion of the issues of perception, language, and knowledge, issues suggested by the content of Gorgias' fragments. Chapter III articulates a theory of rhetoric consistent with Gorgias' philosophical position. The key to the understanding of this theory is that Gorgias approaches rhetoric more from an aesthetic than a metaphysical point of view. Chapter IV compares Gorgias' position on perception, language, and knowledge with that of the phenomenologists Maurice Merleau-Ponty, Georges Gusdorf, and Edmund Husserl. In this chapter, it is claimed that the phenomenological perspective extends the boundaries of Gorgian thought and provides a useful alternative to the traditional dichotomy of idealism and empiricism. The final chapter summarizes the major concepts of this study, advances a new definition of rhetoric, and discusses some implications of phenomenology for rhetoric.

A CRITICAL ANALYSIS AND EXAMINATION OF THE ISSUE OF SPEECH AS AN "OVERLAID FUNCTION"
Order No. 7916125

ROUTHIER, Marc Edmond, Ph.D. University of Denver, 1979. 266pp.

A continuing issue is the question of whether speech (i.e., human vocalization) is an "overlaid function." An "overlaid function" is any function which employs an anatomical structure or system which was originally developed for more fundamental biological purposes. It was proposed that the controversy surrounding the issue has a potentially heuristic value for human communication, since the question itself embodies issues and arguments that pertain prima facie to the domain of human communication theory. The "overlaid function" argument is concerned by definition with the functional relationship between human speech production and its biological correlates. The central question of the study is "What are the implications for theory construction in human communication that may be derived through a critical examination of the 'overlaid function' argument?" It was then proposed that inferences having significant implications for human communication theory might be drawn through a critical analysis of that literature which deals explicitly with the argument.

A rationale for the use of a critical mode of inquiry was presented wherein it was established that argumentative analysis was both a justifiable and a productive research strategy. The literature was then reported, followed by a critical analysis. The constitutive framework provided by the major elements of argument (viz., assumptions, evidence, issues, and conclusions) made it possible to organize the literature in such a way that isolated arguments could be compared and evaluated from a unified perspective.

The major conclusion reached was that the identification of human speech as an "overlaid function" can be simplistic, misleading, or thoroughly inappropriate. When "human speech" is distinguished from the "vocalizations" of animals, and when the "speech apparatus" is meant to include not only the peripheral effector organs as a group, but also the speech-specific neural structures and pathways, it can then be concluded that speech is "overlaid" only in the sense that the speech apparatus is in part built upon organs and systems that were originally designed for other primitive functions. Without an elaboration of terms or of the context in which they appear, the statement that "speech is an overlaid function" may obscure or misrepresent the relationships that exist between the speech function and the other biological functions that are implicated in its operation.

The findings of the critical analysis were discussed in terms of their possible significance for human communication theory (and relatedly, for research and application). The majority of the implications that were identified surrounded the typological distinction between the concepts "human speech" and "vocalization." Those implications may be summarized with the general statement that the process identified in this study as "human speech" appears to be highly suited to the role of a primary modality of human communication. In addition, it was asserted that human speech be viewed as a natural and inevitable process of human functioning, on a biological level as well as on other levels. It was suggested that some aspects of modern language (e.g., segmentation, punctuation) reflect a basis in the spoken mode. Finally the possibility that human speech might enhance some linguistic or cognitive processes was explored.

TOWARDS A COMMUNICATIVE THEORY OF TEXT
Order No. 8004274

SELLNER, MANFRED BERNHARD, PH.D. *University of Illinois at Urbana-Champaign*, 1979. 164pp.

This dissertation studies the textual function of language. A theory of text is identified as one that specifies all the acceptable, usable texts of language.

The purpose of Chapter I is to contrast the doctrines of generative-transformational theory to the assumptions that underly this textlinguistic study. These are identified as the act-view of language that sees language as activity of speakers/writers with a purpose and recipients as individuals that try to find out what was in their heads.

Chapter II starts out with a *Grundlagendiskussion* of observations that a comprehensive theory of text will have to account for. These observations are set in relation to several "text-models," which are shown to be in need of revision. Finally, I characterize a "rational," and "non-absolute" position on textuality.

Chapter III is an analysis of the communicative function of the agentless "werden"-passive in German. This analysis is performed under the assumption that speakers/writers act "rationally" and that they choose the form that best suits their intentions. In the course of this study, several ways of exploitation are identified which are then contrasted to the exploitation of *man* by speakers and writers of German.

Chapter IV gives a statement of the major findings of the dissertation, as well as its shortcomings. The conclusion is that the passive is used for more than one function and that there is indeed one context that can support the claim of a substitutional relationship of passive and *man*.

THE PLACE OF RULES IN HUMAN COMMUNICATION INQUIRY

SHIMANOFF, Susan Bussey, Ph.D. University of Southern California, 1978. Chairman: Professor Walter R. Fisher

In pursuing the place of rules in human communication inquiry, this study focused on the criteria for judging the admissibility of evidence to support theoretical statements regarding human communication theory from a rules perspective. Four specific questions were addressed: What is a communication rule? How are rules and behaviors related? What are the advantages and disadvantages of various methodological approaches in providing evidence for rule-related research? What contributions does a rules perspective make to the advancement of communication theory? The major findings of this investigation were as follows: A communication rule is a followable prescription that indicates what behavior is obli-

gated, preferred, or prohibited under certain conditions. A rule should take the form: "If X, then Y is obligated (preferred or prohibited)." Rules serve multiple functions, from regulation, interpretation, evaluation, justification, correction, and prediction to the explanation of behavior.

Using rule compliance/noncompliance and the degree of rule consciousness, nine different types of rule-related behavior were identified: positive rule-reflection, rule-following, rule-conforming, rule-fulfilling, rule-absent, rule-ignorant, rule-error, rule-violation, and negative rule-reflective behavior. These terms were compared and contrasted with four others: rule-guided, rule-governed, rule-symptomatic, and rule-allowance behavior.

To infer rules from behavior, evidence must meet two criteria: regularity under similar conditions and prescriptive force. The existence of rules and rule-related behavior may be discovered in several ways. Six methods were compared and evaluated: self-reflection, survey, naturalistic observation, participant observation, quasi-experimental, and experimental. Each method was judged according to its ability to provide evidence of regularity and prescriptiveness, and the probable accuracy and generalizability of its findings for everyday communication. Because each method has advantages that others do not, multiple methods of inquiry were recommended.

Rules theories may be expressed in an axiomatic form. Axioms express assumptions about humans as communicators; theorems describe relationships that may be inferred from rules or rule-related behavior, and other theoretical statements are derived from axioms or inferred from theorems. While rules theory is too early in its development to have formulated theoretical statements, hypothetical statements were offered to illustrate how such statements might be constituted. The illustrations included theoretical statements about rules for behavior, rule-related behavior, rule sanctions, meta-rule processes, rule manipulations, and the interdependence of rules and sociopsychological variables. How rules theory and research explain, predict, and offer the opportunity for the control of communicative behavior was discussed. Comparisons of a rules perspective with covering laws and systems approaches to communication inquiry revealed that each perspective makes different contributions to the study of human communication.

The study demonstrated that a workable concept of rule is available for theory-building and research, that rules can be distinguished from other related constructs, that there are various methods that can be used to discover and validate them, and that they can make a significant contribution to human communication inquiry.

MYSTICAL ONTOLOGY IN KENNETH BURKE: THE CONSEQUENCES FOR HIS CONCEPT OF RHETORIC

Order No. 8004880

THAMES, RICHARD HARMON, PH.D. *University of Pittsburgh*, 1979. 254pp.

This dissertation proposes to demonstrate that underlying Burke's system is an anhistorical, "mystical" ontology which ultimately leads to a depreciation of historical, "political" (or "social") acts. Such a demonstration requires explication of the system in a manner more traditional than Burke's.

Burke's concept of "rhetoric" is basically Platonic: there is rhetoric and Rhetoric. This more exalted Rhetoric, perfecting and transcending normal rhetoric, is really dialectic. While rhetoric results in division from, dialectic results in merger with the ground of all being. To act out dialectic is to develop fully the implications of language. Desire to track down those implications is the basic human motive. The ultimate implication is that abstract is the basic human motive. The ultimate implication is that abstract Term uniting all other terms, the "god-term." Because "dialectic" coincides with "being," the god-term's proving a linguistic necessity is the same as God's proving an ontological one; climbing linguistically to that ultimate abstraction is the same as striving actually for mystic merger with God.

Burke's God is "Nature-containing-the-principle-of-speech" (similar to Spinoza's "God or Nature") whose known attributes consist of the "verbal" and the "nonverbal" (similar to Spinoza's "thought" and "extension"). Man is the "symbol-using animal," the finite part equal to (synecdochic of) the infinite whole, his mind a mode of the verbal, his body of the nonverbal. Burke's God necessarily expresses himself through modes; he creates that which is implicit within him. Creation is cathartic: logically circular, simultaneous essences are expressed as linear, temporal existences (like a "chord" is stretched into an "arpeggio"); the endless is given an end. God "unfolds" through the nonverbal and "enfolds" through the verbal (a "dialectic" similar to Neo-Platonic emergence from and return to the One).

Material unfolding (evolution) ends, linguistic enfolding ("entelechy") begins, with Man's necessary articulation. As man is synecdochic of God, so articulation is of Creation. But God's act is total, man's only partial. Articulation initially results in a Fall; Creation, however, is a "proto-Fall." The verbal-nonverbal distinction created by God is implicitly a division; articulation makes that division actual. Articulation ultimately leads to "salvation" in this life; it is the first step in a verbal return to God. Like Creation, articulation is cathartic. Though blame for division lies with the verbal, through articulation man purges himself of division, symbolically projecting blame onto the nonverbal and leaving the thus burdened nonverbal behind in a verbal ascent to God in whom the divided two are one. Man merges with and re-emerges from the One; he dies and is reborn--pure, innocent, a new creation as if again at the beginning of time. Divisions are distinctions again. But such salvation is temporary. Any action will result in a repeat of the Fall requiring a repeat of the remedy. Death brings the only individual salvation, the eschaton the only universal one; the death of the individual and the death of the universe are *final* returns to the One.

Dialectic, confused with any motive other than the purely linguistic, deteriorates into rhetoric. Dialectic leads to true transcendence, genuine mysticism; rhetoric to false transcendence, *Ersatzmystiken*. Political action is rhetorical, entangling men in motives of the here-and-now, the "historical." War exemplifies rhetoric at its farthest remove from dialectic; war unites, but to do so divides. Dialectic is purely linguistic, lifting men from history and the partisan into eternity and the universal.

My criticism of Burke, based on the preceding explication, is twofold. (1) Consequences of Burke's theories for the *use* of rhetoric. The only act ontologically valid is dialectic--linguistic activity culminating in a "mystical" attitude toward rather than "political" (or "social") action in the world. (2) Consequences of Burke's theories for the *study* of rhetoric. Any action evolving out of criticism is discouraged and an attitude of appreciation for ingenious symbol-use encouraged instead. Furthermore, significant hermeneutic problems are created; attempts to interpret any system stressing historicity (e.g., Christianity or Marxism) may be prejudiced by anhistorical presuppositions--presuppositions such as Burke makes.

AN EPISTEMOLOGICAL, THEORETICAL AND METHODOLOGICAL APPROACH TO COGNITIVE ACTIVITY

Order No. 8013608

TUTELMAN, CARY JAY, PH.D. *University of Washington*, 1979. 204pp.
Chairperson: Professor John Angus Campbell

Human communication theorists in the discipline of Speech Communication have assumed a limited view of epistemology. The assumption that only two mutually exclusive and exhaustive epistemological systems (the humanistic and the positivistic) exist, dominates current human communication theory. Additionally, human communication theorists have dichotomized method into two mutually exclusive and exhaustive systems (the physicalistic and the mentalistic). Much of the controversy in Speech Communication centers around which of the two epistemological and/or methodological systems should be adopted by the discipline.

The author contends that the philosophical position of dichotomization creates an artificial duality in human communication theory. Many different epistemological systems and methodologies exist. Further, epistemological systems possess basic assumptions that generate, direct and restrict theoretical and methodological frameworks. Dichotomization also restricts an understanding of the complex interdependency between epistemology, theory and method. Thus, attention to epistemological system is not only important for understanding philosophical foundations, but also for the construction of theory and the development of research methodology.

This dissertation offers a methodological and theoretical framework for the study of cognitive activity deriving from an epistemological system. Specifically, the author proposes a methodology for the study of cognitive activity called analysis of cognitive structure, emerging from a theory called cognitive phenomenology, and deriving from an epistemological system called pre-existent phenomenology. The dissertation, in essence, presents one unified view of cognitive activity that integrates an epistemology, a theory and a methodology.

Pre-existent phenomenology is an epistemological system based on the concept of a pre-existent essence that exists independently of and prior to being in the life-world, and that manifests itself in the life-world as post-existent essence. Cognitive phenomenology is a structural, many valued, many dimensional theory of cognitive activity. It focuses on the organization

of meanings derived from experience into meaning substructures, the organization of meaning substructures into cognitive structures called forms, and the organization of forms into one unified cognitive structure called self concept. Additionally, cognitive phenomenology focuses on form and self concept as foundations and bases for future cognitive activity, the generation of cognitive conclusions, the transformation of cognitive conclusions into behavioral alternatives, and behavior. Analysis of cognitive structure is a methodology that attempts to uncover and describe cognitive phenomenological aspects of the cognitive structure, each individual generates perceptions of his or her internal cognitive structure and process of cognitive activity, reflects on them, and derives cognitive conclusions about him or herself or his or her relationship.

A THEORY OF SEMIOTICS, COMMUNICATIONS TECHNOLOGIES, AND CULTURE Order No. 7918873

WURTZEL, Gary Irwin, Ph.D. New York University, 1979. 422pp. Chairman: Professor Christine L. Nystrom

Media of communication bridge the synapse between material reality and the cognition of that reality which members of any human group share. In bridging that gap, communications media literally "mediate" between the human mind and the materials humans use to construct culture. From this position, media affect culture continuity as well as rate and quality of culture change. An explanation of this dynamic between communications media and culture is the purpose of the study.

The study begins with the recognition that most theorizing about communication gravitates toward either of two perspectives. These are the media determinist and semiological perspectives, each named for the element it emphasizes in linking communication and culture. The argument of the study proceeds with critical analyses of these perspectives, examining the merits and shortcomings of each.

The argument unfolds in four chapters, the first chapter presenting the hypothesis shared by such media determinists as Benjamin Lee Whorf, Edward T. Hall, Harold Innis, Jacques Ellul, David Riesman, and Marshall McLuhan. This hypothesis is that the culture of any given human group will be determined by the communications media it uses. The chapter explores the failure of this perspective to clearly describe either a) the mechanism through which the forms of communication determine culture, or b) the limits and controllability of this media determinism.

Chapter Two examines the missing components of the media determinist perspective by evaluating the perspective as a whole against ethnographic and historical cases. Such cases, drawn from the cultures of Torah Jews, ancient Greeks, and others, suggest that while much of the media determinist hypothesis may be valuable, key parts of it are refuted by historical and social fact. Chapter Two concludes that the lacunae in the media determinist perspective compel a search for an alternate, more explanatory approach to the relationship between communication and culture.

Chapter Three presents semiology (or semiotics) as such an alternate approach. The semiological approach is based on propositions about the human mind. The most basic of these is the ineluctable tendency for human beings to mentally structure their experience of "objective" reality into related categories of signs which are, in the semiological view, culture itself. For the semiologists, communication and culture are synonymous and the study of culture is the study of the creation, transmission, and apprehension of symbols. Chapter Three outlines this approach to the social world: the contributions of Mary Douglas, Clifford Geertz, Suzanne K. Langer, and Dan Sperber are analyzed as elements of the semiological perspective. But even as a whole, this perspective is also found to be only partially successful at explaining communication's relationship to culture.

While the semiologists explain much, they are unable to account for the cultural impact of the technologies and techniques which allow transmission of symbolic forms in social life. Here logic points back again to the perspective of the media determinists as providing the theoretical aspect missing from semiology. Although both perspectives are incomplete by themselves, they may be synthesized to yield a general theory that can account for the role of communication in cultural continuity and change.

Chapter Four takes up this synthesis of the media and semiological perspectives as a general theory of communication and culture change. The theory is restated in propositional form, its constituent elements defined and related to one another. The chapter concludes the study with a discussion of the relationship of this theory to other theories of culture change, and the uses of the theory in social studies.

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